

#3

Applicant/Patentee: Nicolaas M.J. VERMEULIN et al.	Docket No.: 275102001021
Serial No./Patent No.: 09/396,523	
Filed on/Issued : September 15, 1999	
For: NOVEL POLYAMINE ANALOGUES AS THERAPEUTIC AND DIAGNOSTIC AGENTS	

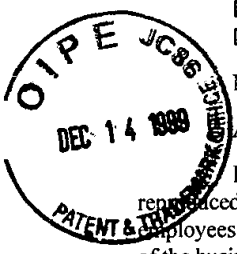
VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
37 C.F.R. §§ 1.9(f) AND 1.27(c) — SMALL BUSINESS CONCERN

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: ORIDIGM CORPORATION

ADDRESS OF CONCERN: 4010 Stone Way North, Suite 200, Seattle, Washington 98103



I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 C.F.R. § 121.12, and reproduced in 37 C.F.R. § 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled NOVEL POLYAMINE ANALOGUES AS THERAPEUTIC AND DIAGNOSTIC AGENTS by inventor(s) Nicolaas M.J. VERMEULEN, Christine L. O'DAY, Heather K. WEBB, Mark BURNS and Donald E. BERGSTROM described in

- ☐ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

If the rights held by the above identified business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d), or a nonprofit organization under 37 C.F.R. § 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
☐ each such person, concern or organization is listed below.

NAME	ADDRESS	TYPE
		<input type="checkbox"/> Individual <input type="checkbox"/> Small Business Concern <input type="checkbox"/> Nonprofit Organization

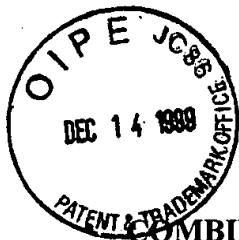
Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. § 1.27)

I acknowledge the duty to file, in this application or patent, notification or any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:
TITLE OF PERSON IF OTHER THAN OWNER:
ADDRESS OF PERSON SIGNING:

SIGNATURE: Thomas O'Halloran DATE: 11/5/99



#3

PATENT
Docket No. 275102001021**COMBINED DECLARATION AND POWER OF ATTORNEY
FOR NATIONAL PHASE APPLICATION**

AS A BELOW-NAMED INVENTOR, I HEREBY DECLARE THAT:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled: **NOVEL POLYAMINE ANALOGUES AS THERAPEUTIC AND DIAGNOSTIC AGENTS**, the specification of which is attached hereto unless the following box is checked:

☒ was filed on 15 September 1999 as United States Application Serial No. 09/396,523.

I hereby state that I HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS, AS AMENDED BY ANY AMENDMENT REFERRED TO ABOVE.

I acknowledge the duty to disclose information which is material to the patentability as defined in 37 C.F.R. § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

Application No.	Country	Date of Filing (day/month/year)	Priority Claimed?
			<input type="checkbox"/> Yes <input type="checkbox"/> No

I hereby claim benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

Application Serial No.	Filing Date
60/052,586	15 July 1997
60/065,728	14 November 1997
60/085,538	15 May 1998

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior

United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

Application Serial No.	Filing Date	Status
PCT/US98/14896	15 July 1998	<input type="checkbox"/> Patented <input checked="" type="checkbox"/> Pending <input type="checkbox"/> Abandoned
09/341,400	6 July 1999	<input type="checkbox"/> Patented <input checked="" type="checkbox"/> Pending <input type="checkbox"/> Abandoned

I hereby appoint the following attorneys and agents to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

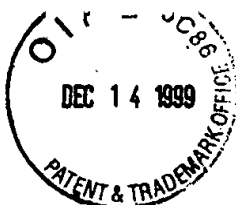
Mani Adeli (Reg No. 39,585)	Sanjay Bagade (Reg No. 42,280)
Erwin J. Basinski (Reg No. 34,773)	Frank P. Becking (Reg No. 42,309)
Sean Brennan (Reg No. 39,917)	Barry E. Bretschneider (Reg No. 28,055)
Nicholas Buffinger (Reg No. 39,124)	Alan W. Cannon (Reg No. 34,977)
Mark R. Carter (Reg No. 39,131)	Robert K. Cerpa (Reg No. 39,933)
Thomas E. Ciotti (Reg No. 21,013)	Raj S. Davé (Reg No. 42,465)
Stephen C. Durant (Reg No. 31,506)	Carolyn A. Favorito (Reg No. 39,183)
Cheryl L. Franke (Reg No. 44,113)	Hector Gallegos (Reg No. 40,614)
Douglas Hodder (Reg No. 41,840)	Charles D. Holland (Reg No. 35,196)
Madeline I. Johnston (Reg No. 36,174)	Richard D. Jordan (Reg No. 33,519)
Ararat Kapouytian (Reg No. 40,044)	Phanesh B. Koneru (Reg No. 40,053)
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Richard H. Lilley (Reg No. 42,803)	Wen Liu (Reg No. 32,822)
David C. Lundmark (Reg No. 42,815)	Harry J. Macey (Reg No. 32,818)
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Kate H. Murashige (Reg No. 29,959)	Catherine M. Polizzi (Reg No. 40,130)
William C. Revelos (Reg No. 42,101)	Robert Saltzberg (Reg No. 36,910)
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E. Thomas Wheelock (Reg No. 28,825)	Thomas G. Wiseman (Reg No. 35,046)
Karen K. Wong (Reg No. 44,409)	Frank Wu (Reg No. 41,386)

and:

Please direct all communications to:


Kate H. Murashige
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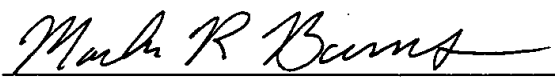


I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

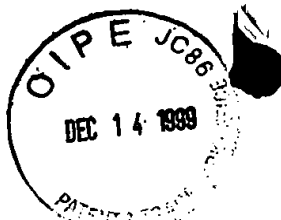
Date	Name:	VERMEULIN, Nicolaas M.J.
	Residence:	Woodinville, WA
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	Post Office Address:	19334 - 196th Avenue, N. E., Woodinville, WA 98072

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	Residence:	Shoreline, WA
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Date	Name:	BERGSTROM, Donald E.
	Residence:	West Lafayette, IN
	Citizenship:	US
	Post Office Address:	3416 Hamilton Street, West Lafayette, IN 47906




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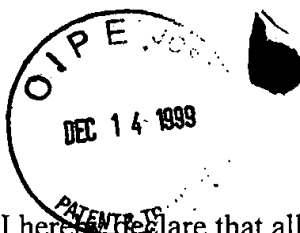
Date	Name:	VERMEULIN, Nicolaas M.J.
	Residence:	Woodinville, WA
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Date _____ Name: WEBB, Heather K.
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11/12/99
Date

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